# United States Court of Appeals for the Second Circuit



**APPENDIX** 

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## 75-2067

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## United States Court of Appeals

FOR THE SECOND CIRCUIT

Docket No. 75-2067

HAROLD SHATZ,

Petitioner-Appellant,

-against-

UNITED STATES OF AMERICA, Respondent-Appellee.

ON APPEAL FROM THE UNITED STATES DISTRICT COURT FOR THE EASTERN DISTRICT OF NEW YORK

#### **GOVERNMENT'S APPENDIX**

David G. Trager, United States Attorney, Eastern District of New York.



PAGINATION AS IN ORIGINAL COPY

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#### APPEARANCES:

ROBERT A. MORSE, ESQ., United States Attorney for the Eastern District of New York

BY: GTEVEN BEHAR, ESQ., Assistant United States Attorney

DAVID MC CARTHY, ESQ., Legal Aid Society Attorney for the Defendant.

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THE COURT: Yes, I will hear you.

You have read the superceding information?

MR. MC CARTHY: Yes, Your Honor, I have

read it, and I have read it to Mr. Brugman.

THE COURT: Do you understand it?

THE DEFENDANT: Yes, sir.

THE COURT: How old are you?

THE DEFENDANT: Twenty-five.

THE COURT: Have you had high school educa-

tion?

THE DEFENDANT: No.

THE COURT: How much education have you had?

THE DEFENDANT: Seventh Grade.

THE COURT: Do you read?

THE DEFENDANT: Pretty good.

THE COURT: Were you working before you were

put in the House of Detention?

THE DEFENDANT: No.

THE COURT: What were you doing?

THE DEFENDANT: Stealing.

THE COURT: Do you take drugs?

THE DEFENDANT: Yes.

THE COURT: When did you take drugs last?

THE DEFENDANT: When I got arrested.

1	Brugman 4
2	THE COURT: When was that?
3	THE DEFENDANT: October the 18th.
4	THE COURT: You haven't had it since then?
5	THE DEFENDANT: I had methadone at Atlantic
6	Avenue.
7	THE COURT: When did they take you off
8	methadone?
9	THE DEFENDANT: I sometime in late
10	October.
11	THE COURT: You haven't had it since?
12	THE DEFENDANT: No.
13	THE COURT: Have you had any medication at
14	all?
15	THE DEFENDANT: I get sleeping pills, you know,
16	West Street, but that's all.
17	THE COURT: When did you take it last?
18	THE DEFENDANT: Last night.
19	THE COURT: How many pills did you take?
20	THE DEFENDANT: Two.
21	THE COURT: Did you sleep all right?
22	THE DEFENDANT: Yes.

THE COURT: How do you feel now?

THE DEFENDANT: Good.

THE COURT: Rested?

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THE DEFENDANT: Rested.

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THE COURT: Do you feel rested now?

THE DEFENDANT: Yes.

THE COURT: Is your mind clear?

THE DEFENDANT: Yes.

THE COURT: Are you drowsy at all?

THE DEFENDANT: No.

THE COURT: Have you discussed this with your client this morning and in your opinion, is his mind c'ear, and is he capable of understanding the nature of these proceedings?

MR. MC CARTHY: Yes, your Honor.

THE COURT: Has anybody made any threats or promises to you?

THE DEFENDANT: No, sir.

THE COURT: Let me read you this superceding information: On or about and between the first day of October, 1971 and the 19th of October, 1971, you knowingly and willfully conspired with Efrain Rodriguez, Harold Schatz and John Arroyo to enter the branch office of the Manufacturer's Hanover Trust Company, 1797 Pitkin Avenue, Brooklyn, New York, whose whose deposits were insured by the Federal Deposit Insurance Corporation, with the intent to commit

a felony by extortion, and in furtherance of the conspiracy you and Efrain Rodrigues, Harold Schatz and Joh Arroyo had conversations concerning a plan to obstruct, delay and effect commerce by an extortion?

Tell me what you did on that day?

THE DEFENDANT: Well we made a plan to take the money from this bank and the way the plan was, I was supposed to go in the bank and take a look at the guy's face, you know, and then wait for him until he come out, you know, and then I follow him to his car and take his license number down, and this way I give it to Schatz and he traces it where he live.

Then from there we plan to go and find out, you know, who he live with, you know, and then hold them people hostage and demand some money from the guy.

THE COURT: Now, you're entitled to a full trial here and if you are tried, what you have just said to me would not be used against you.

You are entitled to a good many constitutional and other protections. Have you explained those to him?

MR. MC CARTHY: Yes, your Honor.

THE COURT: Do you want to waive, that is give up all those protections?

THE DEFENDANT: Yes.

THE COURT: And plead guilty?

THE DEFENDANT: Yes.

THE COURT: You can be sentenced to up to five years. How old are you now?

THE DEFENDANT: Twenty-five.

THE COURT: Twenty-five?

MR. MC CARTHY: Twenty-five, Judge.

THE COURT: Twenty-five. And fined \$10,000 in addition. I suppose theoretically you could also be sentenced under the Youth Correction Act which means you could be held a total of six years.

Nobody has discussed this case with me.

There will be a probation report, then

I will discuss it with the judges, your attorney

can see the probation report if he'd like, and after

we have our discussion I will hear you and

your attorney, and only then will I decide what

the sentence shall be. Do you understand that?

THE DEFENDANT: Yes.

THE COURT: So you could be in jail for up to

six years.

Any further inquires I ought to make?

MR. BEHAR: No, your Honor, just that I have
a wiaver of indictment form.

THE COURT: Oh, superceding information.
Have you explained this to your client,

Mr. McCarthy?

MR. MC CARTHY: I have explained this, your Honor. But I would like to read it to hism.

THE COURT: Yes.

All right, they have been executed in my presence. How do you plead to the superceding information I just read? Guilty or not guilty?

THE DEFENDANT: Guilty.

THE COURT: All right, I accept the plea.

Now, you will have to get in touch with probation. He's right here. So you can start on it right away.

Your attorney will explain it. Are you being held in jail on another charge as well or just this?

THE DEFENDANT: Just this.

MR. MC CARTHY: He's under commitment in State Court, however. He's being held in West Street at the moment.

MR. BEHAR: He's presently residing at Sing Sing and is at West Street.

THE COURT: Well, why don't we get him back to Sing Sing so he can get as much time as he can for the State sentence.

MR. BEHAR: The defendant has indicated a desire to remain at West Street because of some illness in his family.

THE COURT: Well, all right, we'll work it

out. I don't care. Whatever is desirable from your

point of view but he's better off being at Sing Sing than

. West Street.

It's a better plan than West Street, I would think.

All right.

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2	UNITED STATES DISTRICT COURT
3	EASTERN DISTRICT OF NEW YORK
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5	UNITED STATES OF AMERICA, :
6	Plaintiff, :
7	-against- : 72-CR-919
8	EDWARD BRUGMAN, :
9	Defendant. :
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12	United States Courthouse Brooklyn, New York
13	October 25, 1972
14	10:00 o'clock a.m.
15	
16	Before:
17	HON. JACK B. WEINSTEIN,
18	U.S.D.J.
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23	

HENRY R. SHAPIRC OFFICIAL COURT REPORTER

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#### Appearances:

ROBERT A. MORSE
United States Attorney
Eastern District of New York

By: STEPHEN BEHAR,
Assistant United States Attorney

BARRY KRINSKY, ESQ.
LEGAL AID SOCIETY

Attorney for Defendant

THE COURT: Good morning.

THE DEFENDANT: Good morning.

MR. KRINSKY: Your Honor, the defendant is ready for sentencing.

Your Honor is familiar with this case, especially in light of the fact that Mr.Schatz went to trial and was convicted by a jury last week.

In Mr. Brugman's behalf I have read the probation report. It details the background of Mr. Brugman and that he has had a troubled background.

In Mr. Brugman's behalf I would say this:

Witness against Mr. Schatz. My understanding of the case and the evidence in this particular case was such that there was a reasonable chance that without the testimony of Mr. Brugman it is entirely conceivable that Mr. Schatz would not have been able to have been convicted. With Mr. Brugman's testimony I understand the jury was out for some time as to whether or not they would come back with a guilty verdict. My understanding of the case and my understanding of other related

was the prime mover. He was the mastermind behind this entire operation.

this matter is concerned, your Honor, his involvement as to what was originally Count One of the indictment was minimal. I believe the FBI's investigation corroborated our independent investigation before we entered a plea to the superseding information. We investigated it, including some investigation we conducted through our Legal Aid office in Puerto Rico, that Mr. Brugman was in fact out of the country the months preceding the first count. He was somewhat involved on a technical-legal level as to Count Two, the conspiracy. He did plead guilty to a superseding information of a five-year count.

Really, what we are talking about in light of the fact that Mr. Brugman is already serving a five-year state sentence - - I believe sentence was imposed in February of this year - - what we are really talking about, if jail time is to be imposed, whether it will stand alone or whether or not a recommendation will be made

by your Honor that the sentence be deemed to run concurrently or recommend that they run concurrently.

THE COURT: I cannot do that. All I
can do is make a recommendation to the Attorney
General that he designate a state institution
as the place where the federal sentence will be
served. I cannot make it concurrent - - at
least, I won't and I do not think I can.

MR. KRINSKY: I do not think your Honor has the power to order it. I do think what your Honor could do, if you were predisposed to do it, is to recommend to the Attorney General the state institution for the serving of the sentence. That is all I have to say as far as sentencing is concerned.

THE COURT: Do you want to say anything, Mr. Brugman?

THE DEFENDANT: Only that we just -because of drugs all my life - that's the only
reason. I have no choice. I'm sorry, you know,
for what I have done. The only thing that pushed
me was the drugs. That's about it.

THE COURT: I do not consider that an

excuse.

Would you want to add something else?

THE DEFENDANT: No, I don't say it's

an excuse. Nobody forced me or put a gun

behind my head or nothing. Nothing else I

could do.

THE COURT: There are adequate treatment facilities now.

THE DEFENDANT: Yes.

MR. BEHAR: I just wanted to say:

One, I will go a step further than

Mr. Krinsky in my estimation, but for Mr.

Brugman's testimony we could not have presented
the case against Mr. Schatz.

As I think your Honor realized, as the evidence unfolded, this was the vital link in convicting Mr. Schatz.

Additionally, it was Mr. Brugman's statement to the FBI which helped build the case as it progressed.

Also Mr. Brugman was faced with the seriousness of the consequences of his testifying when he saw one of the co-defendants refuse to testify and had heard from Mr. Schatz on prior

occasions that nobody should testify against him, that he was a powerful man.

Throughout my conversations with Mr.

Brugman he has steadfastly maintained to me

the only reason he had been involved in crime

since his youth was because of the drugs and

that since his confinement in Nassau County

jail he has been drug-free.

in your behalf. I will make a recommendation in your behalf. I will sentence you to five years which will parallel your present sentence and recommend that the Attorney General designate a state institution for the service, so that the federal and state sentences can be served simultaneously. Good luck.

You understand, I cannot guarantee it.

It is up to the Attorney General. The United

States Attorney and I will both recommend it.

MR. KRINSKY: Thank you.

THE DEFENDANT: Thank you.

MR. KRINSKY: I believe there is an outstanding indictment?

MR. BEHAR: Yes, at this time the Government would move to dismiss Indictment

No. 72-CR-465/against this defendant.

THE COURT: Motion granted.

MR. BEHAR: And if your Honor would permit, the Government would also move to dismiss 72-CR-465 as against Fran Rodriquez.

THE COURT: Motion granted.

MR. BEHAR: Thank you, your Honor.

THE COURT: Who is it outstanding against

now?

MR. BEHAR: It is still cutstanding against John Royal who is yet to be sentenced by your Honor. Mr. Schatz was convicted.

THE COURT: Thank you.

Good luck, I hope you do not come back here again.

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### United States District Court

No. 72CR-919

EASTERN DISTRICT OF NEW YORK

FILED IN CIERK'S OFFICE U. S. DISTRICT COURT L.D. N.Y.

United States of America

UCT 25 1972

V.

EDWARD BRUGMAN

TIME A.M. P.M

25th day of October , 19 72 came the attorney for the government and the defendant appeared in person and with counsel

IT Is ADJUNCED that the defendant upon his plea of guilty and the court being satisfied there is a factual basis for the plea has been convicted of the offense of violating Title 18-U.S.C. Sec. 371 in that on or about and between Oct. 1, 1971 and Oct. 19, 1971, the defendant did knowingly and wilfully conspire to enter the Branch Office of the Manufacturer's Hanover Trust Company, at 1797 Pitkin Avenue, Brooklyn, New York, the deposits of which are insured by the Federal Deposit Insurance Corporation, with intent to commit a felony therein, to wit: to obstruct, delay and affect commerce by extortion

as charged3

and the court having asked the defendant whether he has anything to say why judgment should not be pronounced, and no sufficient cause to the contrary being shown or appearing to the Court,

IT IS ADJUNGED that the defendant is guilty as charged and convicted.

It Is Adjudged that the defendant is hereby committed to the custody of the Attorney General or his authorized representative for imprisonment for a period of five (5) years.

kt decknownexttat

It is Observed that the Clerk deliver a certified copy of this judgment and commitment to the United States Marshal or other qualified officer and that the copy serve as the commitment of the defendant

The Court recommends commitment to a state United States Distinctitution, that the Attorney General shall designate, for service of sentence, so that the Federal and State sentences can be served simultaneously.

United States District Judge.

/auna

the cit by Irane of coursell, coursel' or without coursel; the court advised the defendant of his right-to-cor of achieved him whether he desired to have coursel appointed by the court, and the defendant therepoint to the track of the track of the right to the assistance of coursel." Theset (1) "guilty and the coart being it had he waved the right to the assistance of coursel." Theset (1) "guilty and the coart being it had there by a tactual have for the plea," (2) "not guilty, and a verdiet of guilty," (3) "not guilty, and a fadding of guilty," or (4) "node contenders," as the case may be "Insert "in count(s) number. "" if required libert of the contenders of sentence, specifying counts if any; (2) whether entences are to run concurrently or consecutively and, if consecutively, when each term is to begin with reference to termination of preceding term or to any other outstanding unserved sentence; (3) whether defendant is to be further imprisoned until payment of the fine or line and costs, or until he is otherwise discharged as provided by law. Enter any order with respect to suspend on and probation. For use of Court to recommend a particular institution.

Name Judge: Jack Weinstein Street & No. 225 CADMAN Plaza EAST, City Bklyn, 11201, State New YORK When reflying sign your full name and address Give invactes full name and number.

Box B, Dannemora, S. Y., 12029

Date 12/24/72

dudge Weinstein Sir, Jan writting to you concerning my federal Sentence. I appeared befor you on 10/25/72 for Sentenceing, AT That Time I was SCHULNG A Five YEAR STATE SENTENCE. MY ATTORNEY MR. BARRY KRINSKY FROM The legal AiD Society Ask you if The court will consider of Running my Sentence CONC. With my STATE SENTENCE. The ASSISTANT UNITED STATE ATTORNEY, MR. better, I belie That is his Name, Also Ask if The court would consider I RUNNING MY Sevience Conc. will The State sevience. SiR, you Told me That you was SORRY but That you CANNOT RUN MY Senteuce Together with The State, that you did NOT have The power To do so, That the only one who have such power was The United STATES ATTORNEY, but That you will write to him AND Recomend The my federal Sentence be RUN CONC. WITH MY ISTATE SENTENCE. NOW STR, When I WAS IN Sing-Sing of Received a paper Saying; That you Sir, SenTence Me To A period of five years Bul To be RUN CONC. With my STATE SENTENCE- NOW SIR, I don't Understand what happening werte To The service Unit over here and ask Then To check it out for me, and They Told me That it was True, That my Lederal Sentence is Running Together with my State sentence. Now STR, I don't mean to Bug you, but I don't Trust These people here OR IN Duy-Ther prison, But when you sentence me sir, you did NOT RUN my My rederal Sentence is Running Together with my state syntence. Now, I KNOW I'm doing five years for The STATE And when of finish here I KNOW I have to do five years for The government. Now SiR, my Puchton's That I don't know if These people are Kidding me or what, I want think is very funny for These people To playing with a man it is, (don't you Think so?) So SIR, I like To hern it DO NOT SEND CASH OF STAMPS

STRIGHT from Horse mouth, (I hop you don't mind my Expression)
Well Sir, I hop you could help me with This Problem And SET
me STRIGHT. )) (Personal Remark: Sir, Jan Takeing your addrice and In Trying To Stright-out my life, In going To Allday School and In Participal in a Drug Counceling group To understand myself better, I know I never been a moder of citizen but with God help I know In going To make it next time. Please excuse my spelling. DREMAND RESPONDENT YOUR Time And KIND Consideration, Edward Brugman #46723 Box B, DANNEMORA, 12729, NEW YORK

JACK B. WEINSTEIN
United States District Judge
Federal Building: State
Brooklyn, New York 11201

January 3, 1973

Barry Krinsky, Esq. Legal Aid Society 225 Cadman Plaza East Brooklyn, New York 11201

1/1/2 \_ Re: U.S.A. v. Brugman, 72-CR-919

Dear Mr. Krinsky:

I enclose a letter dated December 24, 1972 from Edward Brugman.

Will you kindly check and see whether the Attorney General has designated the State institution for service of Mr. Brugman's federal sentence and if so, the present status of his case informing him directly of his status.

Yours truly,

GAUX B. WETRSTETH

U.S.D.J.

cc: Mr. Edward Brugman

JACK B. WEINSTEIN
United States District Judge
Federal Building
Brocklyn, New York 11201

Hanuary 3, 1973

Mr. Edward Brugman #46723 Box B Dannemora, New York 12929

Dear Mr. Brugman:

Thank you for your letter of December 24th.

I am pleased to find that you are going to all-day school and that you are in the drug counciling group.

I have asked the Legal Aid Society to check on the service of the federal sentence and hope they will inform you with respect to the results of their inquiry soon.

With all best wishes,

Sincerely yours,

JACK B. WEINSTEIN

U.S.D.J.



TELEPHONE: 522-3494

SIMON CHREIN

## THE LEGAL AID SOCIET

CRIMINAL DEFENSE DIVISION

FEDERAL DEFENDER SERVICES UNIT
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POBERT KASANOF, ATTORNEY-IN-CHARGE

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President

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Treasurer

SAMUEL W. MURPHY, JR. Secretary

EDWARD Q. CARR. JR.
Auorney-In-Chief

72(K919

January 10, 1973

It. Edward Brugman #46723

Box B

Dannemora, New York 12929

Dear Mr. Brugman:

I hope this letter finds you well and continuing your efforts to straighten out your life. I think it will be good for you to further your education at the all day school that you indicated in your letter to Judge Weinstein, which was referred to me, you are attending at Dannemora. In addition, your involvement in a drug counseling unit within the prison may also provide you with a better insight into the reasons why you need to use narcotics and hopefully will aid you in your effort to cure this problem. I hope that you now realize that it is no way of life to spend your life in and out of jail.

Judge Weinstein asked me to check and see whether or not your Federal and State sentences were running concurrently. I checked with the Bureau of Prisons in Washington, D.C. and spoke to a Mr. Carlson who informed me that on November 14, 1972 the decision was made to designate the State institution where you are now incarcerated as the place of confinement for your Federal sentence and therefore, he further informed me that both your Federal and State sentences are running together. I hope this information will set your mind straight so that you can get on with your attempt to rehabilitate yourself.

Very truly yours,

BARRY KRINSKY Associate Attorney

nK;tt

Howardle Jack S. Winstein

United States District Court, Eastern District of New York

The purpose of the Society is to render legal aid in the City of New York to persons who are without adequate means to employ other counsel.—By-laws of The Legal Aid Society.

## AFFIDAVIT OF MAILING

STATE OF NEW YORK COUNTY OF KINGS EASTERN DISTRICT OF NEW YORK, ss:

EVELYN COHEN , being duly sworn, says that on the 9th
day of July, 1975, I deposited in Mail Chute Drop for mailing in the
U.S. Courthouse, Cadman Plaza East, Borough of Brooklyn, County of Kings, City and
State of New York, a Government's Appendix
of which the annexed is a true copy, contained in a securely enclosed postpaid wrapper
directed to the person hereinafter named, at the place and address stated below:  Daniel J. Gotlin, Esq.
401 Broadway
New York, N.Y. 10013  Sworn to before me this 9th day of July, 1975  OLEMS: MORGAN  Notary Public State of New York NJ 24-4501956  Qualified in Kings County Commission Expires March 30, 1977